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IC IG FY2015 - 001

1 April - 30 September 2014

(U) SEMIANNUAL REPORT TO THE DIRECTOR OF NATIONAL INTELLIGENCE

OFFICE OF THE INSPECTOR GENERAL
OF THE INTELLIGENCE COMMUNITY

I. Charles McCullough, III
Inspector General of the Intelligence Community

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(U) Mission

(U) We conduct independent and objective audits, inspections, investigations, and reviews to promote economy, efficiency, effectiveness, and integration across the Intelligence Community.

(U) Vision

(U) Speak truth; enable excellence in management and accountability.

(U) Core Values

(U) **Integrity:** We are honest, trustworthy, accountable for our actions, and committed to fulfilling our mission.

(U) **Professionalism:** We hold ourselves to the highest standards of technical proficiency and treat others with courtesy and respect.

(U) **Independence:** We conduct our mission free of external influence and provide objective assessments, advice, and conclusions regardless of political or personal consequence.

(U) Diversity

(U) The Office of the Inspector General of the Intelligence Community (IC IG) promotes diversity in all aspects of our mission as a key to our success. Our professional and innovative culture demonstrates the value we place in having a diverse workforce. This is true with our hiring and promotion practices, as well as our efforts to support current IC IG staff who wish to develop or enhance their current skill sets by learning a new IG discipline or participating in a Joint Duty assignment. Our commitment to diversity ensures that we maintain an equitable working environment and can fully leverage the varied IG expertise and Intelligence Community backgrounds of our staff.

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(U) A Message from the Inspector General



(U) On behalf of the members of the Office of the Inspector General of the Intelligence Community (IC IG), with whom I am honored to serve, I am pleased to provide this summary of our efforts for the period of 1 April through

30 September 2014. This report is submitted pursuant to Section 103H of the National Security Act of 1947, as amended.

(U) We continue to foster integration and collaboration among the IC Offices of Inspector General (IC OIGs) by:

- leading the statutory IC IG Forum and the Forum's Deputies, Audit, Inspections, Investigations, Counsel, and Management and Administration committees;
- continuing to develop our IC Whistleblowing and Source Protection program through training, outreach, and processing cases;
- managing the IC IG Forum's Peer Review Program in coordination with the IC OIGs;
- liaising with the Council of Inspectors General on Integrity and Efficiency; and
- improving the community-wide IG workforce through such initiatives as our mentoring program.

(U//~~FOUO~~) During this reporting period we:

- completed one audit;
- completed two inspections of Office of the Director of National Intelligence (ODNI) components;
- completed work on investigation cases;

- evaluated Intelligence Community information sharing prior to the April 15, 2013 Boston Marathon bombing; and
- reviewed NRO's Crimes Reporting Process.

(U//~~FOUO~~) We are currently :

- completing our FISMA compliance and FISMA capstone audits;
- conducting a baseline evaluation of intelligence oversight across the IC;
- conducting a joint evaluation of field-based information sharing entities;
- conducting an evaluation of ODNI's efforts to reduce over-classification; and
- conducting a component inspection.

(U) The credit goes to our hard-working personnel for these accomplishments and ongoing efforts. We remain committed to the highest standards of professionalism, objectivity, independence, and integrity. I very much appreciate the continued support of the Director of National Intelligence, the Administration, and the Congressional Intelligence Committees.

A handwritten signature in black ink, reading "I. Charles McCullough III". The signature is written in a cursive style with a horizontal line underneath.

I. Charles McCullough, III

Inspector General of the Intelligence Community

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(U) Statutory Reporting Requirements

A. (U) Standards

(U) All inspections and investigations conform to standards adopted by the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

B. (U) Full and Direct Access Certification

(U) The IC IG had full and direct access to all information relevant to the performance of his duties.

C. (U) Subpoena Authority

(U) During this reporting period the IC IG issued no subpoenas.

D. (U) Legislative Proposals

(U) During this reporting period the IC IG made no additional legislative proposals. However, the office remained engaged with the congressional oversight committees to discuss IC IG personnel authorities, budget authorities, and protection of inspector general (IG) equities. The IC IG will continue to engage with the congressional oversight committees to foster an open dialogue as well as to protect and enhance IG authorities.

E. (U) Status of Recommendations

(U) Appendix F presents the status of IC IG recommendations. Each recommendation identifies the Office of the Director of National Intelligence (ODNI) component or Intelligence Community (IC) element responsible for the necessary corrective actions and whether or not the corrective action has been fully implemented. Where corrective action has been completed, a description of that corrective action is provided.

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(U) Overview

A. (U) Organization

(U) The Intelligence Authorization Act (IAA) for FY 2010 established the IC IG with the authority to initiate and conduct independent audits, inspections, investigations, and reviews of programs and activities within the DNI's responsibility and authority. The IC IG promotes economy, efficiency, and effectiveness in the administration and implementation of such programs and activities, and prevents and detects fraud, waste, and abuse. The IC IG's broad authority, as established in the IAA, allows us to identify and investigate systemic IC issues that impact the DNI's ability to achieve intelligence integration. In addition, the IC IG facilitates leadership in coordination with other IC Inspectors General through the Intelligence Community Inspectors General Forum (IC IG Forum), also established by the FY 2010 IAA.

(U) The IC IG is composed of the IG, Deputy IG, Counsel to the IG, Assistant Inspectors General (AIGs) for Audit, Investigations, Inspections, and Management and Administration (M&A), a Senior Advisor on Intelligence Oversight (IO), and Executive Directors for Whistleblowing and Source Protection and for IG Community Standards. The office's principal operating divisions are Audit, Inspections, and Investigations. The Senior Advisor on IO provides reviews of intelligence activities, either within the ODNI or across IC organizations, to ensure that such activities are authorized and conducted lawfully. The M&A Division and the Counsel's Office support the operational divisions and the IC IG Front Office. The Executive Directors for Intelligence Community Whistleblowing and Source Protection and for IG Community Standards support the IC IG Forum.



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B. (U) Personnel

(U//~~F~~) In FY 2014, the IC IG was authorized a total staffing complement of (b)(3) positions, however, it was only apportioned for (b)(3). The table below shows positions by division and office. Positions, as of 30 September 2014, reflect (b)(3) (b)(3), and (b)(3) vacancies.

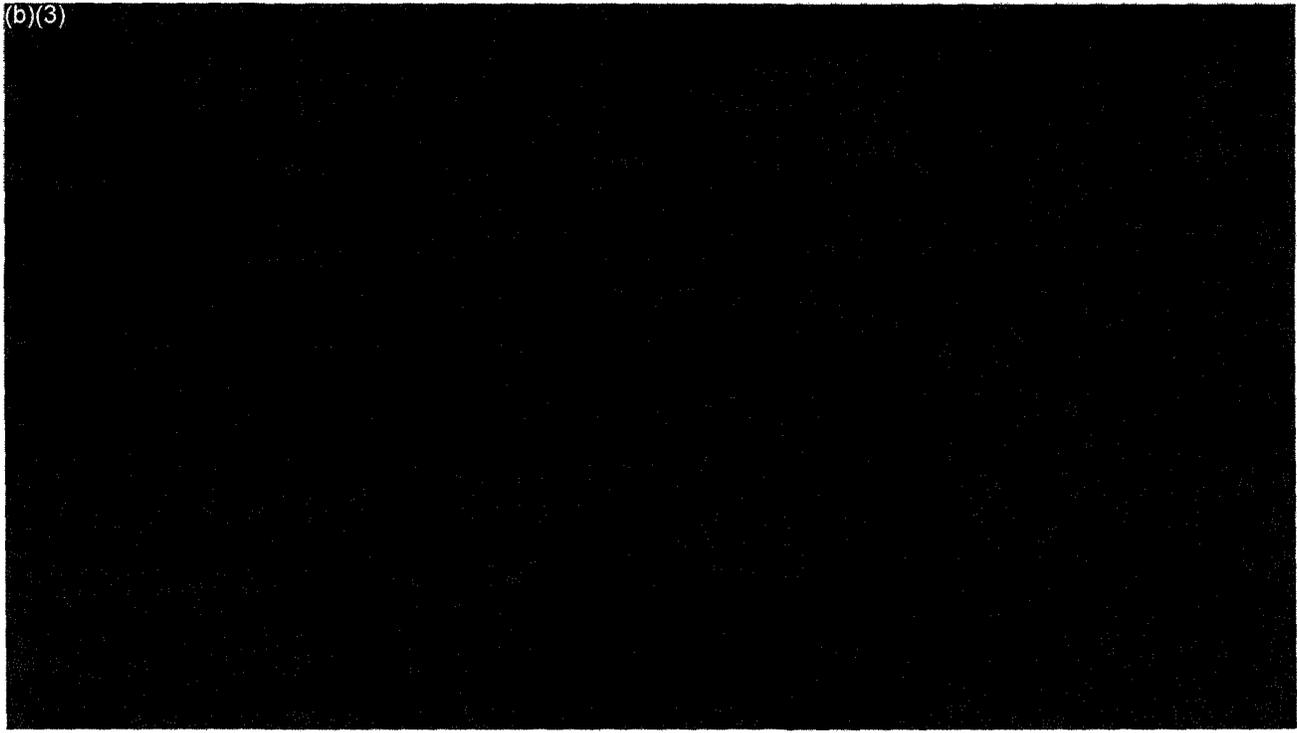
(U) The IC IG is composed of a diverse group of talented and highly-skilled employees to include cadre, joint duty detailees, and contractors who provide subject matter expertise. The following figures summarize the breakdown of the IC IG staff by category.

(U) IC IG Position Allocation

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(b)(3)



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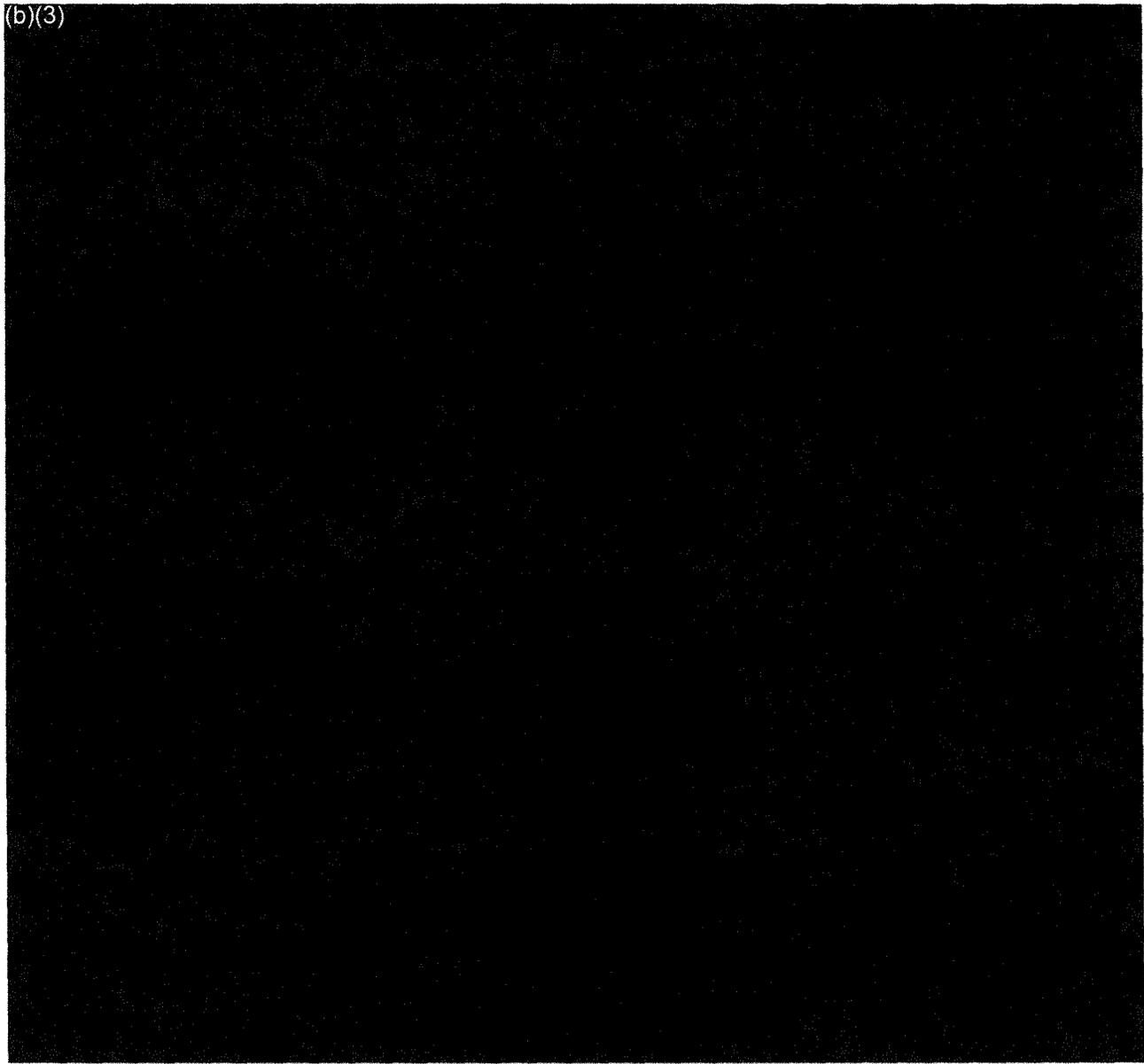
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C. Funding

(U//~~FOUO~~) The ODNI provided adequate funding for the IC IG mission during this reporting period. Our budget covered personnel services and general support requirements such as travel, training, equipment, supplies, information

technology support, and office automation requirements. The IC IG requested, and the DNI supported, an increase in IC IG personnel for FY 2014. The increase in staffing assisted the IC IG in keeping pace with increasing mission requirements.

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(U) IC Inspectors General Activities

A. (U) IC IG Forum

(U) The FY 2010 Intelligence Authorization Act (IAA) established the IC IG Forum. The IC IG chairs the Forum, which is composed of IGs with oversight responsibilities for IC elements. The IC IG Deputy, Counsel, and Assistant Inspectors General (AIGs) chair the Forum committees. Forum members collaborate on IC-wide projects; share information and best practices; resolve jurisdictional issues; and facilitate access to employees, contractors, and other resources that may be of assistance. The IC IG uses the Forum to clarify, identify and prioritize IC-wide projects, to seek key IG stakeholder project buy-in, and to develop strategies on how to best leverage the limited IG resources across the community.

(U//~~FOUO~~) The committees engaged in the following activities during this reporting period:

- **Deputies Committee.** The Deputies met to collaborate on issues impacting the IGs from both an IG and an IC perspective. The Deputies focused on peer review, the IC IG Awards Program, protecting whistleblowing communications, and addressing access concerns.
 - **Audit Committee.** The Audit Committee met twice and discussed: IPERA; Financial Statement Audit status; continuing professional education; Intelligence Community Directive 503 implementation status; and Continuous Monitoring. (b)(3) (Department of the Treasury, Deputy Assistant Inspector General for Audit) briefed the CIGIE Peer Review Guide; and (b)(3), Director of the Intelligence Community Security Coordination Center (IC SCC), provided an overview of the new capabilities the IC SCC offers to the community.
 - **Investigations Committee.** Highlights of the Investigations Committee meetings include a briefing on and discussion of reprisal case reporting, and the effects of PPD-19 and the IC IG Intelligence Oversight Crimes Report findings. We also distributed the DNI's 3 July 2014 memorandum to the IC regarding "Reporting Possible Violations of Federal and State Criminal Law" to all committee members. Other topics of interest included detailed discussions on changes in the way ODNI manages Unauthorized Disclosures and the ongoing revision of the related policy found in ICD 701.
- **Inspections Committee.** The Inspections Committee met twice during this reporting period. Committee members discussed potential fraud indicators during an inspection; 2014 inspection Peer Review experiences of CIA, DIA, NRO, and IC IG; OIG practices regarding reviews of other oversight offices in their home agencies; notification preferences for external OIG information requests; and preparations for a FY 2015 cross-IC review of Suspension and Debarment programs. The committee received briefings from the Department of State OIG regarding their Intelligence Oversight program, and briefings on the IC IG Forum Peer Review and Mentor Programs.
 - **Counsels Committee.** The Counsels' Committee met several times and discussed jurisdictional issues for IC-wide projects, legislative impacts to the IC IG community mission, congressional correspondence, and training opportunities to better educate the IG workforce. The Counsels' Committee has worked to ensure IC-wide uniform response to the Title VI, Intelligence Community Whistleblower Protects, §§ 601-04 of the Intelligence Authorization Act of Fiscal Year 2014. This relates to reviews of adverse security clearance or access determinations. Specifically, these sections adjust the mechanisms of whistleblower reprisal appeals previously available pursuant to PPD-19, among other things. The Counsel's Committee is working to recommend further legislative refinements within this broader area of concern.

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- **Management and Administration (M&A) Committee.** The M&A Committee met twice during the reporting period. Highlights of the committee meetings include: reviews of the impact and benefits of the transition to the Intelligence Community Information Technology Enterprise (IC-ITE); and briefings on Whistleblowing and Source Protection, peer reviews, mentoring and joint duty. The committee also continued to advance best practices throughout the IC by sharing information and forming a M&A virtual community of interest (COI). This COI provides opportunities for action officers to connect and seek and share best practices.

B. (U) The Council of the Inspectors General on Integrity and Efficiency (CIGIE)

(U) The IC IG is a statutory member of the CIGIE. The IC IG actively participates in CIGIE meetings and has representatives who materially participate in each of the six CIGIE committees: Information Technology; Inspections and Evaluations; Investigations; Legislation; Professional Development; Counsel; and Audit, as well as the leadership development subcommittee. In addition, the IC IG Deputy Counsel supported community training by providing legal training to OIG staff at the Federal Law Enforcement Training Center in Glynco, Georgia.

C. (U) IC IG Peer Review Activities

(U) In November 2013, we formally launched the IC IG Forum Peer Review Program with initiation of external peer reviews of CIA and IC IG inspection activities. Our program influenced CIGIE's decision to expand its peer review program to include external peer reviews of inspection and evaluation activities among the 72 Federal Inspectors General vice restricting their reviews to Audit and Investigation activities.

(U) During this reporting period the Defense Intelligence Agency OIG completed an external peer review of the IC IG Inspections Division. In accordance with the provisions of PL 111-203 (Dodd-Frank) DIA will provide information on the peer review in its Semiannual Report; a summary of the peer review results are included under the Inspections Division section of this report on page 11.

(U) Also during this reporting period, the National Reconnaissance Office OIG completed an external peer review of the CIA OIG Inspections Staff. NRO and CIA will include specifics of that peer review in their Semiannual Reports consistent with requirements levied in PL 111-203 (Dodd-Frank).

D. (U) Whistleblowing and Source Protection

(U) Concept of Operations. The Directorate for Intelligence Community Whistleblowing & Source Protection's (ICW&SP) operations divide into four parts: outreach; training; disclosures; and appeals.

- **Outreach.** ICW&SP conducts outreach to stakeholders in the IC Whistleblowers Program who use, advise, or oversee the system.
- **Training.** Reserved for those who execute the whistleblowing process or protect whistleblowers.
- **Disclosures.** The IC IG processes disclosures primarily through the IC Hotline. However, ICW&SP also works on select disclosures, including processing all alleged 'urgent concerns' under the *Intelligence Community Whistleblower Protection Act of 1998*.
- **Appeals.** ICW&SP's appellate mission implements PPD-19.

(U) Operations. ICW&SP performed numerous outreach and training events and processed a number of appeals, complaints and reports of "Urgent Concern." Significant among the disclosures of urgent concern were

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communications to the House Permanent Select Committee on Intelligence and the Senate Select Committee on Intelligence regarding both management and contracting practices. The number of IC whistleblower mission area activities is listed in the below chart.

(U) IC Whistleblower Mission Areas	(U) Total (FY 2014)
Outreach Events	28
Training Sessions	17
Whistleblower Reports of "Urgent Concern"	3
Title 50 Whistleblower Reports of Wrongdoing	5
Whistleblower Requests for PPD-19 External Review	4
Whistleblower Reprisal Complaints Referred to local agency IGs	4

(U) Policy Development. ICW&SP supported the IC IG in his role of coordinating and consulting for the DNI's policy initiatives implementing PPD-19. Lead among these was the issuance of Intelligence Community Directive 120 (Intelligence Community Whistleblower Protection) which provided for general PPD-19 implementation, as well as a reiteration of the President's commitment to the protection of IC contractors within the current limits of the law. The IC IG also coordinated on the DNI's memorandum to both Section A and B agencies whose whistleblowing programs are organized under PPD-19. The FY 2014 Intelligence

Authorization Act Whistleblower Provisions (Sep. 19, 2014) enabled statutory reforms through the existing structure created to implement PPD-19.

(U) Special Initiatives. Within the ICW&SP structure some resources are allocated for Special Initiatives. The FY 2014 Special Initiatives focused on expanding IC whistleblowing program stakeholder awareness. Foremost among these is the development of employee, supervisor and manager training. The initial phase of this training module has been funded and will be deployed within the ODNI during FY 2015. It will be compatible with, and ready-for-use on, CIA systems at the same time. The same module will be available for all IC Elements shortly thereafter through the IC Forum. ICW&SP has also provided subject-matter expertise to the National Intelligence University, to integrate whistleblowing awareness into curriculum for those permitted to take Masters-level education within the IC. Also within this initiative were communications designed to meet narrower, but still significant audiences in the broader public realm. Notably, ICW&SP co-authored "Whistleblower support in practice: Towards an integrated research model" in *International Handbook On Whistleblowing Research* as well as a forthcoming article "The Wasp's Nest: Intelligence Community Whistleblowing & Source Protection" in *Georgetown Law School's Journal Of National Security Law & Policy*.

E. (U) IC IG Investigator – Prosecutor Initiative

IC IG Investigations hired an investigator who will train to be a Special Assistant U.S. Attorney in the Eastern District of Virginia (EDVA). Subject to EDVA and ODNI policy, this investigator will take the lead in prosecuting Inspector General cases from the five independent IC agencies located in northern Virginia.

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F. (U) IC IG Investigation Techniques and Procedures Course

IC IG Investigations created and prepared for its first Investigation Techniques and Procedures Course that will take place in October 2014. The course is hosted by the IC IG with instructors from throughout the Intelligence Community and the Department of Justice. It will cover a range of topics relevant to the Federal Inspector General Community and highlight specific topics of interest to investigators within the IC.

G. (U) IC IG Forum Mentoring Program

(U) The IC IG Forum launched a formal mentoring program in May 2014. Well attended by IG officers from across the IC, the program serves to advance integration and professional development of IG officers in a career service construct. The next quarterly mentoring event will take place 30 October 2014, with a keynote address by Washington Capitals great Olie Kolzig on his life experiences, professional perspectives, and work-life balance, comparing and contrasting the demands of an NHL career and a family, including a special needs child, with those faced by IC IG officers.

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(U) Audit Division

(U) The IC IG Audit Division (Audit) conducts program, compliance, and financial audits and evaluations of ODNI and IC programs related to information technology, procurement, acquisitions, internal controls, financial statements, and financial management.

(U) During this reporting period, Audit completed one project and issued a report containing one recommendation to ensure that future payment recapture audit decisions are risk-based using a judgmental sample of high-risk payments, which most likely can be cost-effectively recaptured.

(U) As of 30 September 2014, the Audit staff had two on-going audits.

A. (U) Completed Audits

1. (U) *Review of the Office of the Director of National Intelligence's Fiscal Year 2013 Compliance with the Improper Payments Elimination and Recovery Act (IPERA) of 2010*

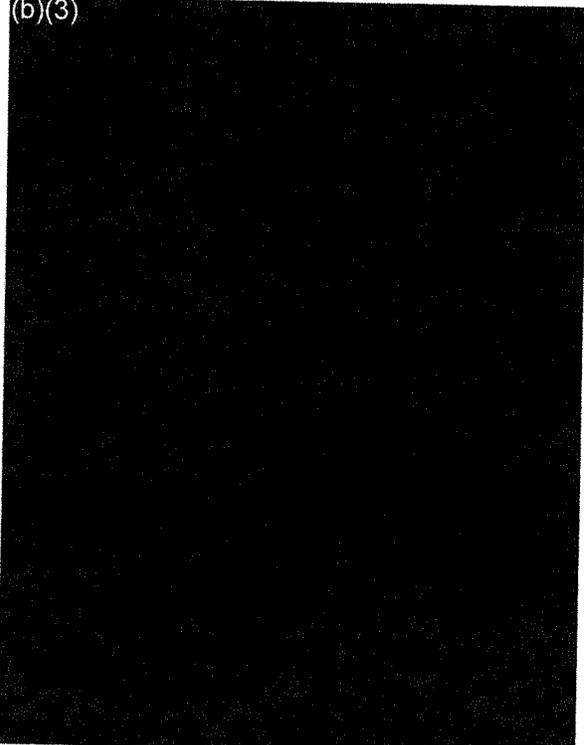
(AUD-2013-006, April 2014)

(U) IPERA requires agencies to identify and estimate improper payments and take into account those risk factors likely to contribute to significant improper payments. In addition, IPERA requires agencies to conduct payment recapture audits on each program and activity expending \$1 million or more annually, and if such audits would be cost-effective. It also requires agencies to report actions taken to recover improper payments.

(U) IPERA requires the IG of the agency to perform an annual "compliance review" to determine if an agency is compliant with IPERA. Pursuant to statute, Audit conducted the IPERA review for ODNI. Audit followed OMB Circular No. A-123 guidance to review the ODNI's improper payment reporting contained in the FY 2013 Annual Financial Report, and accompanying materials, to determine if ODNI is compliant with IPERA.

(U//~~FOUO~~) We found that the ODNI complied with IPERA requirements for FY 2013. However,

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the ODNI's IPERA program still needs to ensure that contractors provide detailed supporting cost documentation when invoices are submitted and its analysis of the cost effectiveness of payment recapture audits is strengthened.

(U) We recommended that the Chief Financial Executive ensure that future payment recapture audit decisions are risk-based using a judgmental sample of high-risk payments, which most likely can be cost-effectively recaptured. In addition, our prior recommendation to require a detailed invoice with supporting detailed cost information be provided to the contracting officials will remain open.

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B. (U) Ongoing Audits

1. (U) Fiscal Year 2014 Independent Evaluation of ODNI Compliance with the Federal Information Security Management Act (FISMA) of 2002

(AUD-2014-003)

(U) The Federal Information Security Management Act of 2002 (also Title III of the E-Government Act of 2002) requires the agency OIG, or an independent external auditor, to perform an annual independent evaluation of the agency's information security program and practices.

(U) The evaluation's objective is to determine the adequacy of the information security program and practices for the ODNI's internal operations. In addition, we will follow-up on steps taken to address previously open FISMA recommendations.

(U) We will issue our report by the end of calendar year (CY) 2014.

2. (U) Fiscal Year 2014 Consolidated Federal Information Security Management Act (FISMA) of 2002 Capstone Report for the Intelligence Community Elements' Inspectors General

(AUD-2014-004)

(U//~~FOUO~~) The objective of this evaluation is to collect and summarize the FY 2014 FISMA report submissions from the OIGs for the IC elements operating or exercising control of national security systems. This evaluation will summarize 11 IC elements' information security program strengths and weaknesses, identify the cause of the weaknesses in these programs, if noted by the respective OIGs, and provide a brief summary of the recommendations made for IC information security programs based on our review of the OIG reports. To perform this evaluation, we will apply the Department of Homeland Security FY 2014 IG FISMA metrics for 11 information security program areas. These 11 information

security program areas are:

1. Continuous Monitoring Management
2. Security Configuration Management
3. Identity and Access Management
4. Incident Response and Reporting
5. Risk Management
6. Security Training
7. Plan of Action and Milestones
8. Remote Access Management
9. Contingency Planning
10. Contractor Systems
11. Security Capital Planning

(U) We will issue our report by the end of CY 2014.

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(U) Inspections Division

(U) The IC IG Inspections Division (INS) conducts inspections, reviews, and evaluations to improve ODNI and IC-wide performance and integration. The division examines information access, collaboration, collection, and analysis; IC programs and issues; and compliance with laws and regulations.

(U) INS also encourages the use of the IC IG Complaint Intake Process, or Hotline, as a confidential and reliable resource for IC employees and contractors to report fraud, waste, and abuse.

(U//~~FOUO~~) During this reporting period, we completed two Special Review Inspections. Special Reviews are accelerated assessments that use questionnaires and data call responses with limited interviews of component staff to gather information. The inspections covered four primary areas:

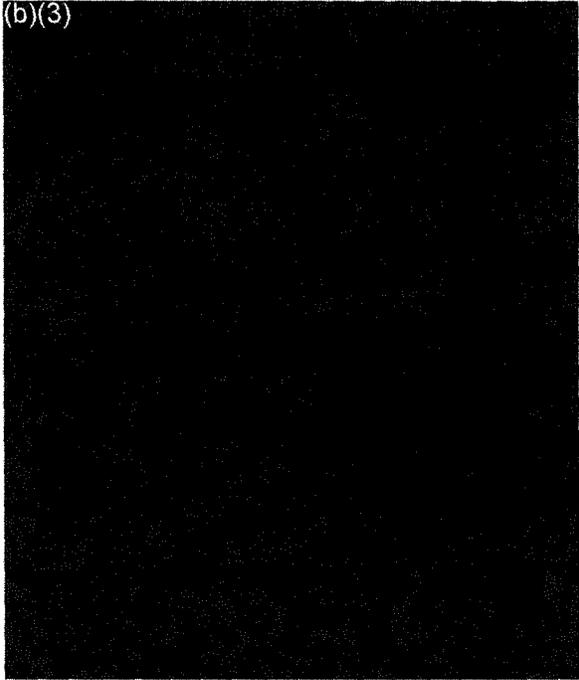
- Mission performance
- Management effectiveness
- Resource management
- Enterprise oversight

(U) As of 30 September 2014, INS had one ongoing ODNI component Special Review. We were also in the final phase of our first topical evaluation. We are assessing whether ODNI components adopted, followed and effectively administered applicable classification policies, procedures, rules, and regulations, as well as identifying policies, procedures, rules, regulations or management practices that may contribute to persistent misclassification of material. The review is directed under Section 6 of the Reducing Over-Classification Act, Public Law 111-258.

A. (U) External Peer Review

(U) INS underwent IC IG's first external peer review in July. The Defense Intelligence Agency OIG, under the auspices of the IC IG Forum Peer Review Program, performed the review. Overall, DIA found INS was compliant with all seven

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agreed upon quality standards identified in the *2013 CIGIE Framework for External Peer Reviews for Offices of Inspector General Inspection and Evaluation Units*. DIA selected four IC IG Special Review reports as the basis of their review. Each report was produced during an agreed upon time period (between January 2013 and June 2014). Additionally, a different IC IG Inspection team leader oversaw each report.

(U) DIA also noted areas for improvement in Quality Control, Data Collection & Analysis, Evidence, Records Maintenance, and Reporting. We concurred with all of DIA's findings, and are addressing each identified weakness, to include updating our standard operating procedures inspections manual with a target completion date of October 2014. Additionally, INS will continue to consider other ways we can refine and improve our program based on the the peer review results.

(U) The peer review was a valuable learning

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opportunity that reinforced our efforts to comply with the CIGIE standards as well as support continuous improvement in our processes. We commend DIA for their high level of professionalism and thoroughness throughout the peer review process.

B. (U) Completed Inspections

1. (U) Office of the Deputy Director of National Intelligence for Intelligence Integration (DDII)

(INS-2014-001, May 2014)

(U//~~FOUO~~) This Special Review inspection occurred during the period of November 2013-February 2014. DDII is one of the largest ODNI components. Created in 2010, DDII performs the core ODNI mission of strategically managing the Intelligence Community's global collection and analysis enterprise to integrate the IC and achieve unity of effort. We validated challenges in the following areas:

- The mission, framework, and resourcing for DDII's Global Maritime and Air Intelligence Integration and Air Domain Intelligence Integration Element required clarification and realignment;
- the National Intelligence Council (NIC) may have made improper use of "invitational travel";
- the DDII travel process required additional oversight and guidance;
- a systems engineering and technical assistance contractor was assigned to be a National Intelligence Collection Officer;
- IT software requirements supporting DDII's Analytic Integrity & Standards group were funded but not implemented;
- NIC technical production committees lacked charters;
- Unifying Intelligence Strategies were inaccessible to some cleared stakeholders and IC personnel;
- Joint Duty Assignment funding documents for DDII cadre on detail were incomplete;
- the process for DDII integration enhancement investments required modification;
- DDII may be inappropriately funding the

National Intelligence University and other Academic Centers and Organizations;

- DDII should review whether using exclusive and dedicated drivers is cost effective;
- a Continued Service Agreement for one employee on long-term training was executed after training was underway; and
- two Intelligence Community Directives inaccurately reflect the DDII mission and roles.

(U//~~FOUO~~) We observed and reported the following:

- DDII operations are adversely impacted by the CASES II contract award delay;
- there is no consolidated document formally identifying the roles and responsibilities of DDII organizational elements;
- DDII employees perceived ODNI HR does not fill vacant positions in a timely manner;
- minor changes may improve the Analytic Integrity & Standards Group's noteworthy analytic stakeholder survey process;
- questionnaire responses highlighted areas warranting DDII managerial attention;
- IT support to the National Intelligence Management Council Crisis Room should be strengthened;
- broader community participation in the President's Daily Brief (PDB) remains a challenge;
- the competing internal and external roles of the DDII leader should be re-evaluated;
- developing DDII metrics to determine intelligence integration activity effectiveness should remain a high priority;
- DDII personnel are highly concerned they may lose desktop Internet access;
- some contractor labor rates appeared excessive; and
- DDII COTRs should ensure they understand the requirements in OMB (OFPP) Policy Letter 11-01 given DDII's reliance on contractors for certain functions.

(U//~~FOUO~~) We noted as commendable the following:

- DDII continued to improve the organization of the PDB;

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- DDII's personnel advancement guidelines are a possible best practice;
- FY 2014 Financial Operating Guidance provided to DDII employees supports responsible financial management;
- the DDII website is a well-implemented communication tool; and
- questionnaire responses indicated positive aspects of DDII management.

2. (U) Chief Human Capital Office (CHCO)

(INS-2014-003, August 2014)

(U//~~FOUO~~) We conducted the Special Review Inspection from March through May 2014. CHCO leads the design, development, and execution of human resources strategies, plans, and policies in support of the people who serve in the nation's intelligence agencies. We validated challenges in the following areas:

- CHCO should strengthen oversight and monitoring of funds transferred to other agency language programs;
- CHCO's Information Services group required additional systems engineering and project management rigor;
- CHCO has purchased, but not deployed, mission-critical IT software; and
- the CHCO travel process required additional management oversight.

(U//~~FOUO~~) We observed and reported the following:

- Strategic Human Capital activities related to future capabilities were limited;
- CHCO collects minimal qualitative exit data from personnel completing Joint Duty Assignments (JDA);
- CHCO IC human capital policies required updating;
- a required FY 2014 monetary transfer to DoD was still ongoing in April 2014;
- time and attendance work tour records did not consistently match ODNI/HR documentation;
- enhanced time and attendance monitoring has

caused a workforce perception of mistrust;

- a JDA MOU was used to "forward deploy" a CHCO employee who is not on a JDA; and
- two different CHCO webpages linked from the DNI Connect site contained different information.

(U) We noted as commendable the following:

- partners praised the CHCO-managed National Intelligence Awards Program;
- CHCO actively participates in the Federal CHCO Council;
- the senior COTR mentors junior COTRs;
- the CHCO-managed JDA Program makes effective use of social media outreach; and
- CHCO staff reported improved morale.

C. (U) Ongoing Inspections

1. (U) Office of the National Counterintelligence Executive (ONCIX)

(INS-2014-004)

(U) We are currently conducting a Special Review of the ONCIX. We will issue our report during the first quarter of FY 2015.

2. (U) Evaluation of ODNI Required under the Reducing Over-Classification Act

(INS-2014-002)

(U) We are in the final phase of evaluating ODNI classification policies, procedures, and practices in response to Section 6 of the Reducing Over-Classification Act of 2010. We will issue our initial evaluation report during the first quarter of FY 2015.

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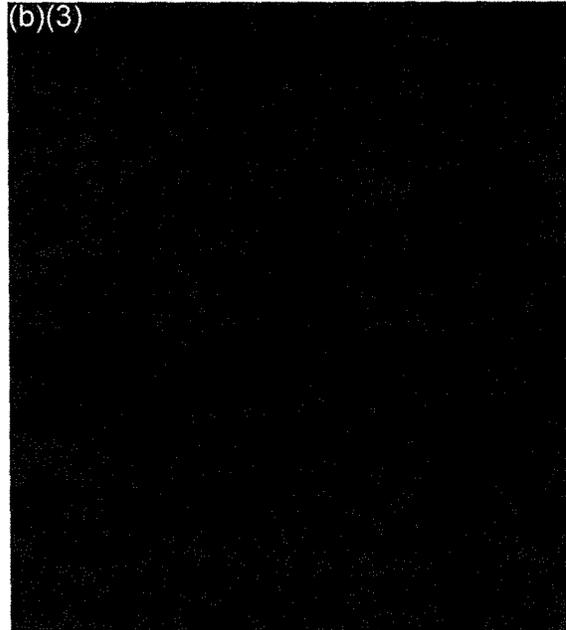
(U) Investigations Division

(U//~~FOUO~~) The IC IG Investigations Division (INV) investigates allegations of violations of criminal, civil and administrative laws arising from the conduct of IC, ODNI, and contract employees. INV has unique authority to investigate programs and activities across the IC within the responsibility and authority of the DNI. Through this authority INV is able to coordinate and assist with the prosecution of criminal matters arising from the six independent intelligence agencies. INV also plays a principal role in conducting IC-wide administrative investigations into unauthorized disclosures of classified information.

(U//~~FOUO~~) During this reporting period, INV conducted 10 investigations (2 new and 8 carried over) of which 9 were closed. Of the 9 closed investigations, 1 was substantiated.

(U//~~FOUO~~) As of 30 September 2014, INV had one investigation and four preliminary inquiries open.

(b)(3)



A. (U) Select Completed Investigation

(U) Conflict of Interest, Improper and Unauthorized Outside Employment, Falsification and Misrepresentation, and Misuse of Government Information and Information Systems

(INV-2013-0034, September 2014)

A joint investigation with the Department of Defense Criminal Investigative Service and the Internal Revenue Service substantiated an ODNI employee engaged in conflicts of interest, improper and unauthorized outside employment, falsification and misrepresentation, misuse of government information and misuse of information systems. We referred the matter to management officials for action.

B. (U) IC IG Hotline.

(U) The Hotline and intake processes provide confidential means for IC employees, contractors, and the public to report fraud, waste, and abuse. The intake process includes secure and commercial Hotline phone numbers, U.S. mail, anonymous secure Web application submissions, and walk-ins. Since the last Semiannual Report to Congress in March 2014, the Hotline logged 165 contacts

- 47 from within the IC; and
- 118 from external sources.

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(U) Intelligence Oversight

(U) The Senior Advisor on IO serves as the principal advisor to the IC IG for the independent oversight of intelligence, counterintelligence, and intelligence-related activities in the IC; represents the IC IG, with the assistance of Counsel, to the President's Intelligence Oversight Board; provides advice and guidance on intelligence oversight to other IC IG elements and other IC IO elements; and ensures intelligence activities performed by IC elements are compliant with Executive Order 12333, and with other related Federal laws, Executive Orders, and policies or directives. The Senior Advisor on IO accomplishes these objectives by liaising and coordinating with IC element oversight organizations and engaging in IC-wide or ODNI-specific IO projects and evaluations.

(U//~~FOUO~~) Pursuant to Executive Order 13462, the DNI designated the IC IG as a responsible office for reporting intelligence oversight matters arising within the ODNI to the Intelligence Oversight Board (IOB). During this reporting period, IO staff issued two evaluation reports and submitted two quarterly reports to the IOB. As of 30 September 2014, IO had an ongoing special review and a joint evaluation.

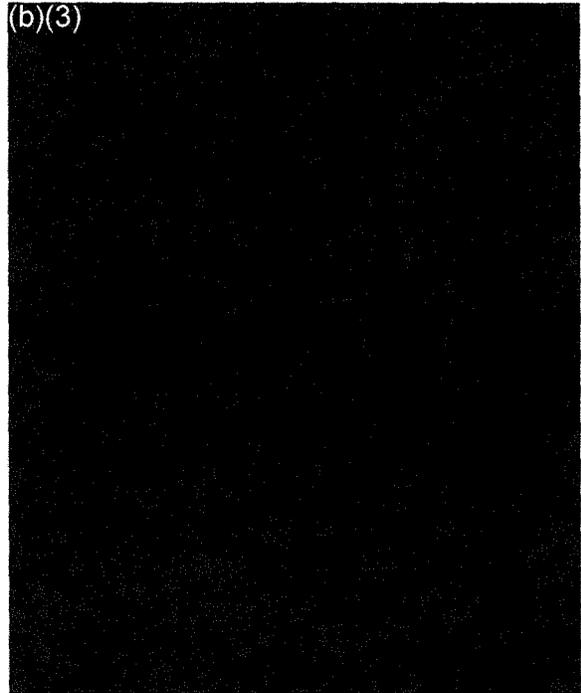
A. (U) Completed Reports

1. (U//~~FOUO~~) *Special Review of NRO Crimes Reporting Process*

(IO-2013-002, April 2014)

(U//~~FOUO~~) The IC IG completed a special review of NRO compliance with laws, policies, and procedures to identify and report NRO contractor, government civilian, and military personnel admissions of reportable crimes during polygraph sessions. The IC IG conducted the special review on behalf of the NRO Office Inspector General, which recused itself due to its role in the crimes reporting process. The IC IG publicly released two separate reports on the matter and made nineteen recommendations to strengthen NRO's crimes reporting process. NRO management concurred with the recommendations and has since completed action on them.

(b)(3)



2. (U//~~FOUO~~) *Evaluation of Intelligence Community Information Sharing Prior to the April 15, 2013 Boston Marathon Bombing*

(IO-2013-005, April 2014)

(U//~~FOUO~~) The Inspectors General of the IC, CIA, DOJ, and DHS completed a coordinated and independent review into the U.S. Government's handling of intelligence information leading up to the Boston Marathon Bombings. The IGs issued a classified report and unclassified summary in April 2014. The review examined the information available to the U.S. Government before the bombings and the information sharing protocols and procedures followed between and among the intelligence and law enforcement agencies. We determined that the FBI, CIA, DHS, and NCTC generally shared information and followed procedures appropriately and found no basis to make broad recommendations for changes in information handling or sharing.

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3. **(U) First Quarter Calendar Year 2014 Report to the IOB**

(IO-2014-005, May 2014)

(U//~~FOUO~~) The first quarter of calendar year 2014 the IC IG reported one new matter. The IC IG notified the Intelligence Committees that an IC-element's routine counterintelligence monitoring discovered some emails relating to whistleblowing. The IC IG is working with the IC IG Forum to devise a way to keep whistleblower communications confidential while the necessary counterintelligence monitoring occurs. This matter did not constitute a violation of E.O. 12333 or statutory law.

(U//~~FOUO~~) The IC IG also researched a claim initially reported to the IOB in the fourth quarter of calendar year 2013. A civilian employee with the Army Intelligence and Security Command made an IC IG Hotline Complaint alleging an interagency data repository, believed to be composed of numerous intelligence and non-intelligence sources, improperly included U.S. Person data. The complainant also reported he conducted potentially improper searches of the data repository to verify the presence of U.S. persons data. The IC IG concluded that the data repository has an adequate system of internal controls to ensure USP information is minimized, retained, and disseminated in accordance with applicable laws and regulations.

4. **(U) Second Quarter Calendar Year 2014 Report to the IOB**

(IO-2014-007, August 2014)

(U) There were no reports of intelligence activities we believed to be unlawful or contrary to Executive Order or Presidential Directive from within the ODNI during the second quarter of calendar year 2014.

B. **(U) Ongoing Evaluations**

1. **(U//~~FOUO~~) Special Review of IC Intelligence Oversight**

(IO-2014-006)

(U//~~FOUO~~) The IG IG is conducting a baseline evaluation of intelligence oversight across the IC focusing on three areas: identifying programs within the IC designed to ensure compliance with procedures implementing Executive Order 12333; the degree to which the OIGs of IC elements review compliance with the procedures; and establishing an initial inventory of intelligence activities that are joint across the IC, involve multiple IC elements, and potentially that operate under more than one IC element's authorities.

2. **(U//~~FOUO~~) Joint Evaluation of Field-Based Information Sharing Entities**

(U//~~FOUO~~) In response to a request from the Senate Select Committee on Intelligence, the Senate Homeland Security and Governmental Affairs Committee, and the Senate Judiciary Committee, the Inspectors General of the Intelligence Community, Department of Justice, and Homeland Security, plan to review specific field-based information sharing entities that the Federal government supports. Those entities include state and major urban fusion centers; joint terrorism task forces; field intelligence groups; high intensity drug trafficking area investigative support centers; regional information sharing systems program centers; the joint regional intelligence group pilot program; and other field-based federal activities or centers engaged in domestic counterterrorism, intelligence, homeland security, and information sharing activities. We will potentially examine the entities' overall missions; specific functions and capabilities; and funding, personnel, and facility costs with a focus on identifying redundancies and gaps or potential changes that could improve the economy, efficiency or effectiveness of those entities.

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(U) IC IG Counsel

(U) In accordance with Section 103H of the National Security Act of 1947, as amended, the IC IG has a separate Counsel who reports directly to the IG. The IC IG Counsel provides independent, objective, and confidential legal advice on a variety of legal and policy issues that impact the IC IG mission. The Counsel manages three main portfolios: legal and policy reviews, legislative reviews, and Congressional engagements.

A. (U) Legal and Policy Reviews

((U) During this reporting period, we continued outreach efforts to the IC IG staff, ODNI components, and other IG Counsel counterparts. For example, we worked closely with the ODNI Office of General Counsel (OGC), the ODNI Policy and Strategy Office (P&S), and the ODNI Civil Liberties and Protection Officer (CLPO) to review certifications of whistleblower protection policies required for implementing Presidential Policy Directive-19 (PPD-19), Protecting Whistleblowers with Access to Classified Information (10 October 2012).

(U) PPD-19 protects IC employees and U.S. Government personnel with access to classified information from reprisal for making protected disclosures. Departments and agencies must certify to the DNI their policy is PPD-19 compliant. We continue to review of the compliance certifications to ensure that IG equities are protected.

(U) In addition, we reviewed the IC-wide policy on IC employee awareness of expanded whistleblower protections. The Counsel's continued coordination with OGC, P&S, and CLPO on these efforts ensures IG equities are protected in policies having an impact on the IG mission.

(U) To ensure legal sufficiency of the IC IG activities and products, we worked with the IC IG, the Deputy IG, the AIGs, and IC IG personnel to review plans, projects, and reports.

(U) Counsel worked with the IC IG and the Executive Director for IC Whistleblowing and Source Protection to formulate appropriate PPD-19 appeals procedures to ensure a fair and streamlined process.

(b)(3)

(U//~~FOUO~~) Continuing our outreach efforts to ODNI stakeholders, we worked closely with the ODNI Information Management Division (IMD), and the ODNI Public Affairs Office (PAO) to develop strategies for information review and media releases. IMD understands the sensitive nature of IG information and agreed to adhere to practices and procedures for us to review sensitive IG information prior to official release under a FOIA or Privacy Act requests. Likewise, we worked with PAO so they understood the need for the IC IG to independently work with media contacts to preserve IC IG objectivity and independence in supporting the IC IG mission.

(U) Counsel also supported the resolution of legal issues identified during outside OIG conducted peer reviews of IC IG elements, as part of IC IG's compliance with Council of Inspectors General on Integrity and Efficiency (CIGIE) standards.

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B. (U) Legislative Reviews

(U//~~FOUO~~) The IC IG has statutory obligations to recommend legislation promoting economy, efficiency, and effectiveness in the administration and implementation of programs and activities within the responsibility and authority of the DNI. During this reporting period, the IC IG reviewed congressional proposals impacting the IC IG mission, including cyber-information sharing and enhanced IG authorities. The IC IG Legislative Counsel tracked each proposed bill and analyzed the potential impact to the IC IG mission and statutory authorities.

C. (U) Congressional Engagements

(U) Pursuant to section 103H of the National Security Act of 1947, as amended, the IG has a statutory obligation to ensure that the congressional oversight committees are kept informed of significant problems and deficiencies within the programs and activities of the DNI. During this reporting period, the IC IG engaged with congressional oversight committees on several matters. In April 2014, IC IG Forum members completed the review of information sharing leading up to the Boston Marathon

bombing. In response to the report, the Senate Homeland Security and Governmental Affairs Committee held a hearing entitled "Lessons Learned from the Boston Marathon Bombings: Improving Intelligence and Information Sharing." The IC IG testified in both open and closed sessions. In addition, the IC IG led IC IG Forum efforts to brief congressional oversight committees on the joint report findings. These widely-attended briefings included members from the Massachusetts delegation, and Senate and House leadership office staff. The following committee staff also attended joint briefings on the subject: Senate Select Committee on Intelligence; Senate Homeland Security and Governmental Affairs Committee; Senate Judiciary Committee; Senate Appropriations Committee; House Permanent Select Committee on Intelligence; House Committee on Oversight and Government Reform; House Committee on Homeland Security; House Judiciary Committee; and House Appropriations Committee. In addition to the briefings related to the Boston Marathon Bombing, the IC IG briefed committee staff on several other issues including the IC IG reports related to the National Reconnaissance Office crimes reporting process, the Semiannual Report, and several component inspections.

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(U) Appendix A: Summary of Audits

1 April - 30 September 2014

	(U) Audit Number	(U) Audit Title
(U) Completed Audits		
Financial Management	AUD-2013-006	(U) Review of the Office of the Director of National Intelligence's Fiscal Year 2013 Compliance with the Improper Payments Elimination and Recovery Act (IPERA) of 2010
(U) Ongoing Audits		
Information Technology	AUD-2014-003	(U) Fiscal Year 2014 Independent Evaluation of ODNI Compliance with the Federal Information Security Management Act (FISMA) of 2002
	AUD-2014-004	(U) Fiscal Year 2014 Consolidated Federal Information Security Management Act (FISMA) of 2002 for the Intelligence Community Elements' Inspectors General

(U) Appendix B: Summary of Inspections

1 April – 30 September 2014

	(U) Inspection Number	(U) Inspection Title
(U) Completed Inspections		
Component Inspections	INS 2014-001	(U) Office of the Deputy Director of National Intelligence for Intelligence Integration (DDII)
	INS 2014-003	(U) Chief Human Capital Office (CHCO)
(U) Ongoing Inspections		
Component Inspections	INS 2014-004	(U) Office of the National Counterintelligence Executive (ONCIX)
Topic Inspection	INS 2014-002	(U) Evaluation of ODNI Required under the Reducing Over-Classification Act

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(U) Appendix C: Additional Reporting

1 April - 30 September 2014

	(U) Report Number	(U) Report Title
(U) Completed Reports		
	IO-2013-002	(U) Special Review of NRO Crimes Reporting Process
Intelligence Oversight	IO-2013-005	(U// FOUO) Evaluation of Intelligence Community Information Sharing Prior to the April 15, 2013 Boston Marathon Bombing
	IO-2014-005	(U) First Quarter Calendar Year 2014 Report to the IOB
	IO-2014-007	(U) Second Quarter Calendar Year 2014 Report to the IOB
(U) Ongoing Activities		
Special Review	IO-2014-006	(U// FOUO) Special Review of IC Intelligence Oversight
Evaluation	TBD	(U// FOUO) Joint Evaluation of Field-Based Information Sharing Entities

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(U) Appendix D: Summary of Investigations

1 April to 30 September 2014

(U) Case Number	(U) Closed and Discontinued Investigations
INV-2014-0064	(U) Discontinued (Time and Attendance Fraud)
INV-2014-0010	(U) Closed – Unsubstantiated (Conflict of Interest)
INV-2014-0007	(U) Discontinued (Labor Mischarging)
INV-2014-0006	(U) Discontinued (Labor Mischarging)
INV-2014-0005	(U) Discontinued (Labor Mischarging)
INV-2014-0004	(U) Discontinued (Public Integrity Offense)
INV-2014-0003	(U) Discontinued (Public Integrity Offense)
INV-2013-0079	(U) Discontinued (Labor Mischarging)
INV-2013-0075	(U) Closed – Unsubstantiated (Labor Mischarging)
INV-2013-0034	(U) Closed – Substantiated (Conflict of interest)

(U) Appendix E: Ongoing Investigations

As of 30 September 2014

(U) Ongoing Investigations and Preliminary Inquiries	(U) Number of Cases
(U) Open Investigations	
Time and Attendance - Administrative	1
(U) Open Preliminary Inquiries	
Misconduct - Criminal	4
(U) Total Ongoing Activities	5

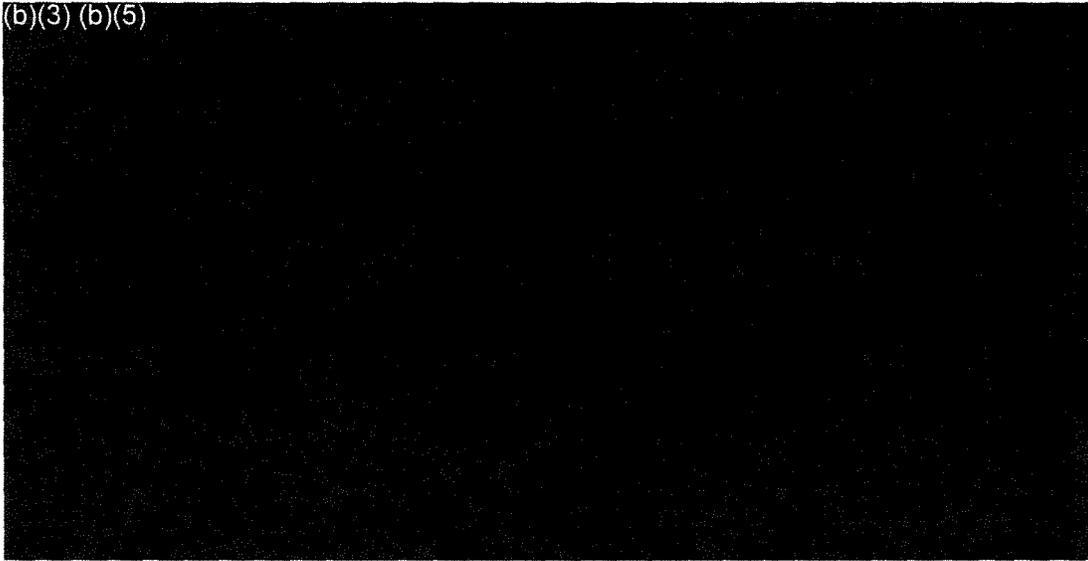
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(U) AUDIT REPORT OF INTELLIGENCE COMMUNITY SECURITY CLEARANCE RECIPROCITY
ISSUED December 2012
Report Total: 2 Recommendations: 2 Open 0 Closed

(U) Summary of Open Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U//~~r~~ ~~C~~) FISCAL YEAR 2012 INDEPENDENT EVALUATION OF ODNI COMPLIANCE WITH THE FEDERAL INFORMATION SECURITY MANAGEMENT ACT OF 2002
ISSUED December 2012
Report Total: 12 Recommendations: 1 Open 11 Closed

(U) Summary of Open Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) Summary of Closed Recommendations

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(U//FOUO); FISCAL YEAR 2012 INDEPENDENT EVALUATION OF ODNI COMPLIANCE WITH THE FEDERAL INFORMATION SECURITY MANAGEMENT ACT OF 2002
ISSUED December 2012
Report Total: 12 Recommendations: 1 Open 11 Closed

(U) Summary of Closed Recommendations (continued)

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) REVIEW OF THE ODNI's FY 2012 COMPLIANCE WITH IPERA
ISSUED April 2013
Report Total: 4 Recommendations: 1 Open 3 Closed

(U) Summary of Open Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) Summary of Closed Recommendations

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(U) INTELLIGENCE COMMUNITY ACCOUNTABILITY REVIEW
ISSUED May 2013
Report Total: 13 Recommendations: 1 Open 12 Closed

(U) Summary of Open Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) Summary of Closed Recommendations

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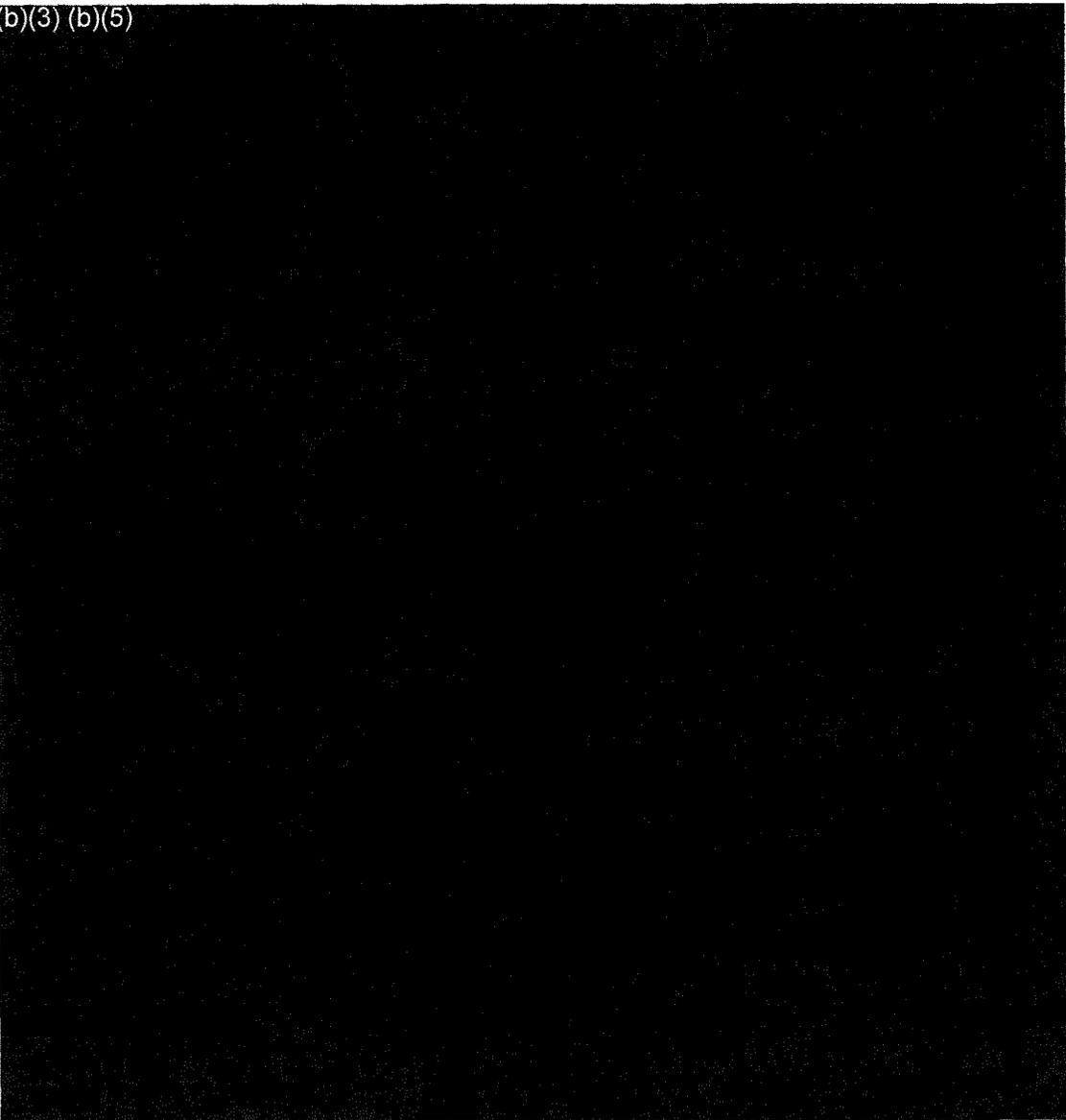
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(U) INTELLIGENCE COMMUNITY ACCOUNTABILITY REVIEW
ISSUE May 2013
Report Total: 13 Recommendations: 1 Open 12 Closed

(U) Summary of Closed Recommendations (continued)

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) INTELLIGENCE COMMUNITY ACCOUNTABILITY REVIEW
ISSUED May 2013
Report Total: 13 Recommendations: 1 Open 12 Closed

(U) Summary of Closed Recommendations (continued)

Recommendation	Reference Number	Responsible Office	Corrective Action
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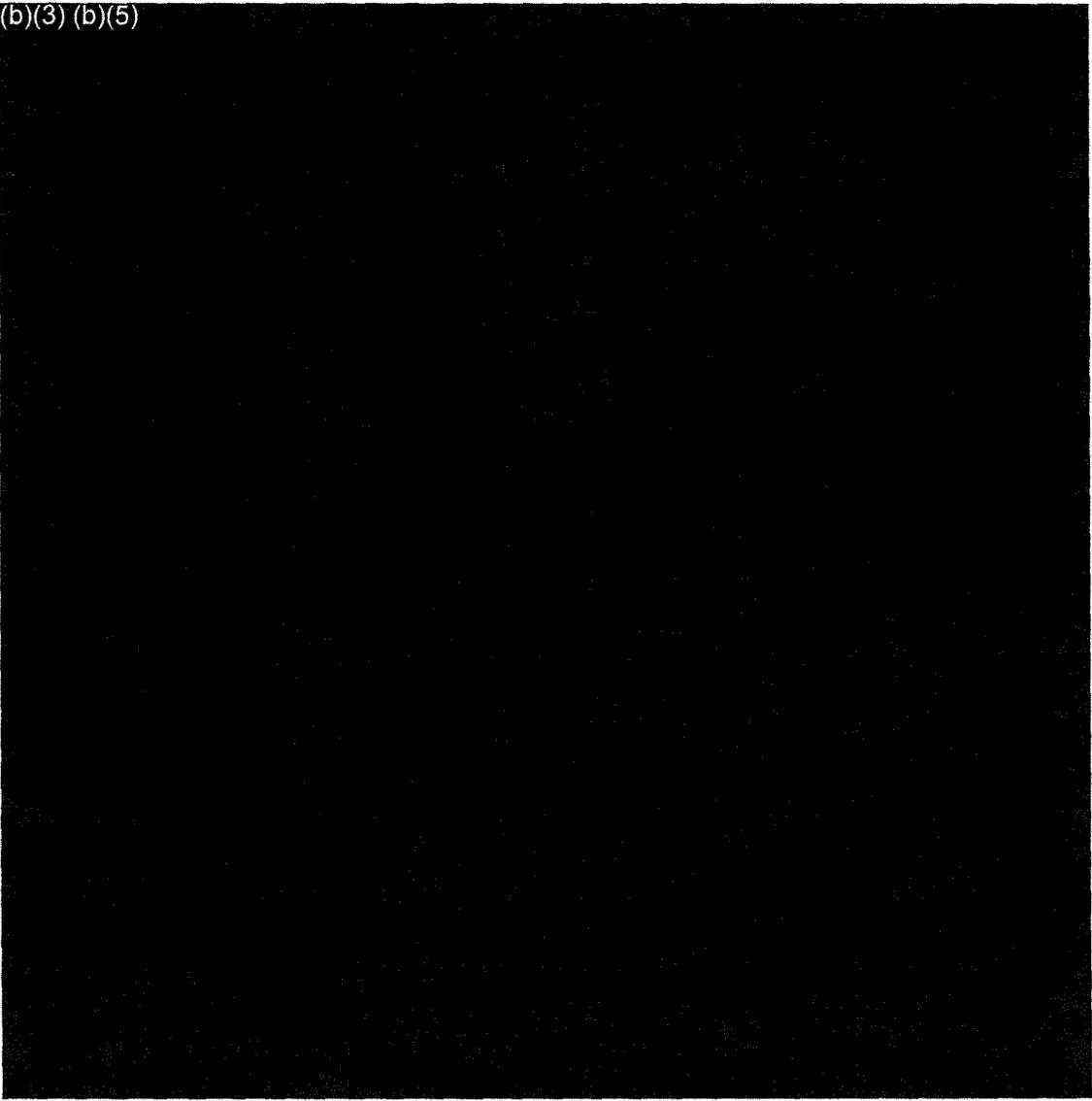
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(U) STUDY OF INTELLIGENCE COMMUNITY ELECTRONIC WASTE DISPOSAL PRACTICES
ISSUED May 2013
Report Total: 5 Recommendations: 5 Open 0 Closed

(U) Summary of Open Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) AUDIT OF THE INTERNAL CONTROLS OVER THE ODNI PAYROLL
ISSUED September 2013
Report Total: 12 Recommendations: 3 Open 9 Closed

(U) Summary of Open Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) Summary of Closed Recommendations

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(U) AUDIT OF THE INTERNAL CONTROLS OVER THE ODNI PAYROLL
ISSUED September 2013
Report Total: 12 Recommendations: 3 Open 9 Closed

(U) Summary of Closed Recommendations (continued)

Recommendation	Reference Number	Responsible Office	Corrective Action
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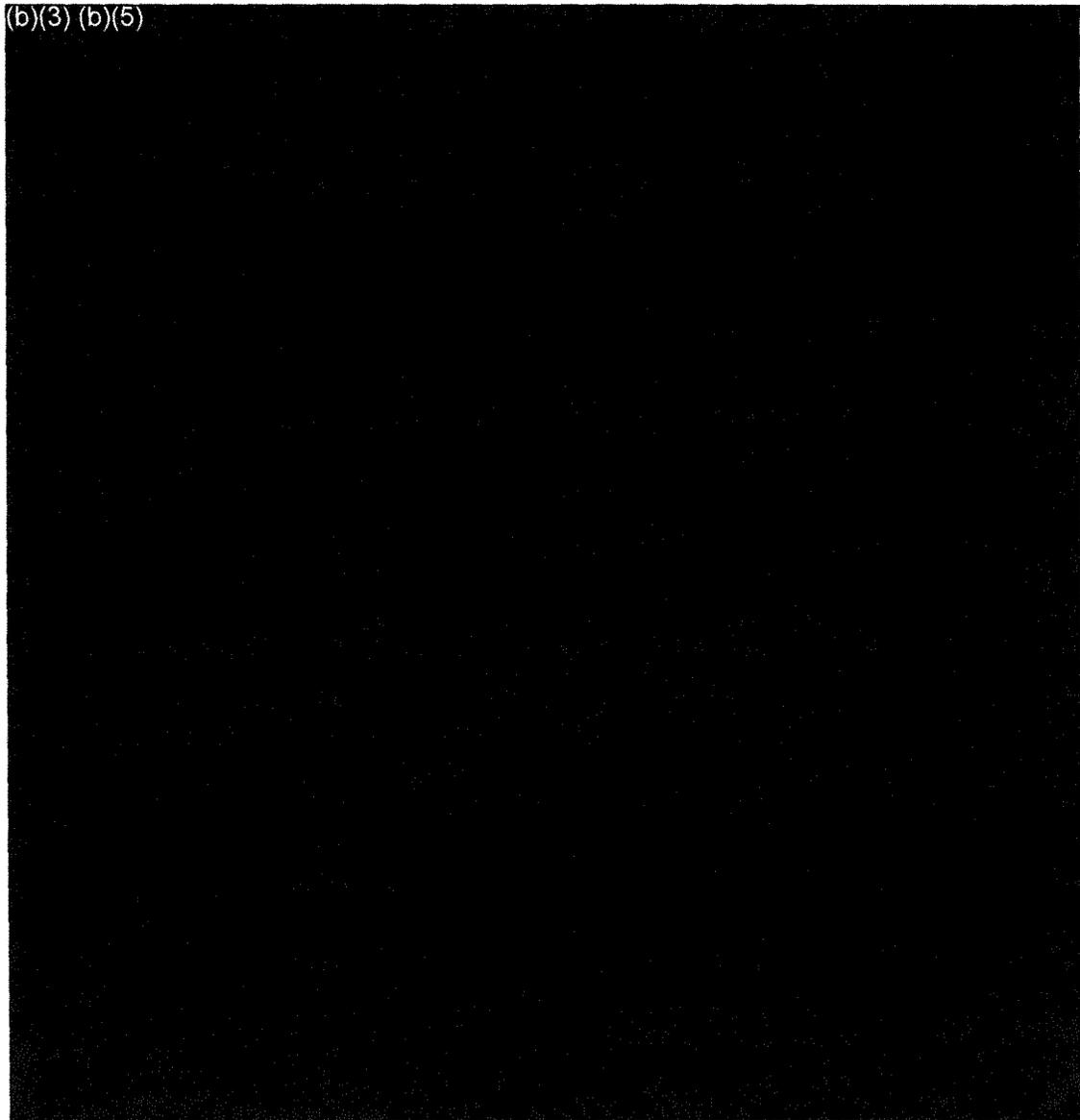
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(U) REPORT OF INSPECTION: OFFICE OF THE ASSISTANT DIRECTOR OF NATIONAL INTELLIGENCE FOR ACQUISITION, TECHNOLOGY AND FACILITIES (AT&F)
ISSUED December 2013
Report Total: 9 Recommendations: 0 Open 9 Closed

(U) Summary of Closed Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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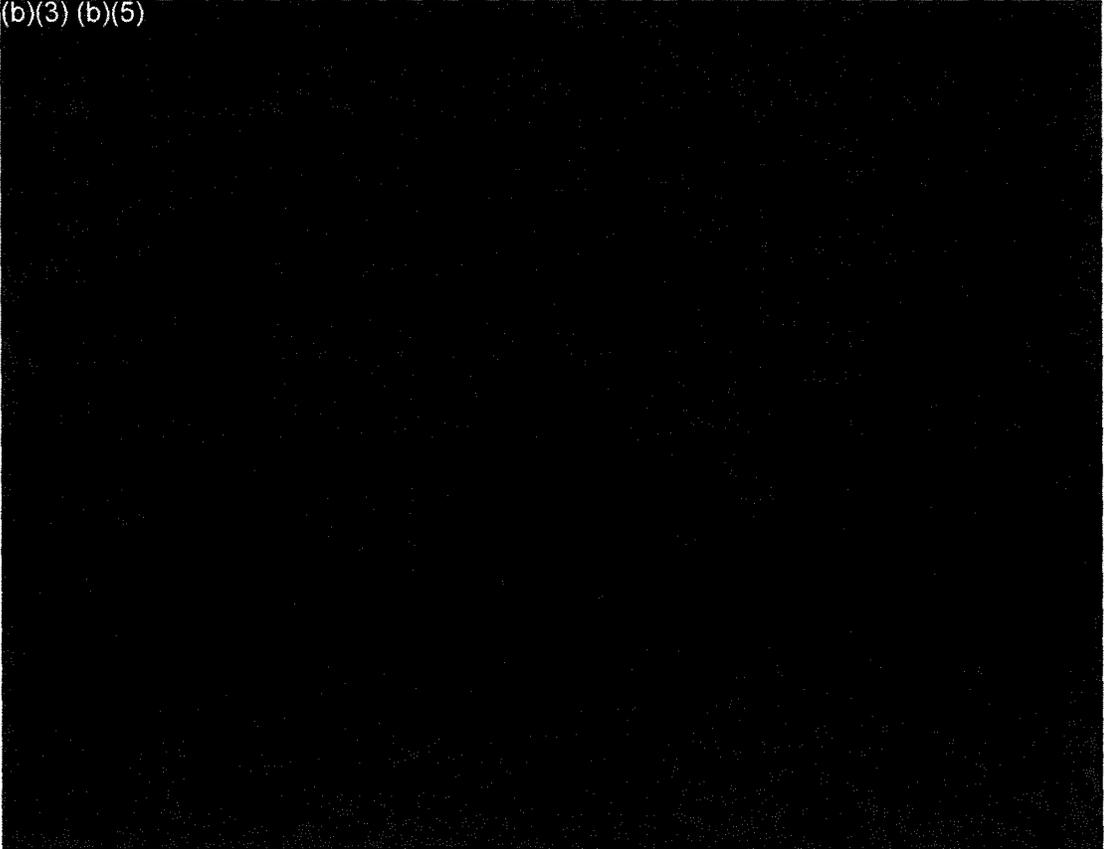
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(U) REPORT OF INSPECTION: OFFICE OF THE ASSISTANT DIRECTOR OF NATIONAL INTELLIGENCE FOR ACQUISITION, TECHNOLOGY AND FACILITIES (AT&F)
ISSUED December 2013
Report Total: 9 Recommendations: 0 Open 9 Closed

(U) Summary of Closed Recommendations (continued)

Recommendation	Reference Number	Responsible Office	Corrective Action
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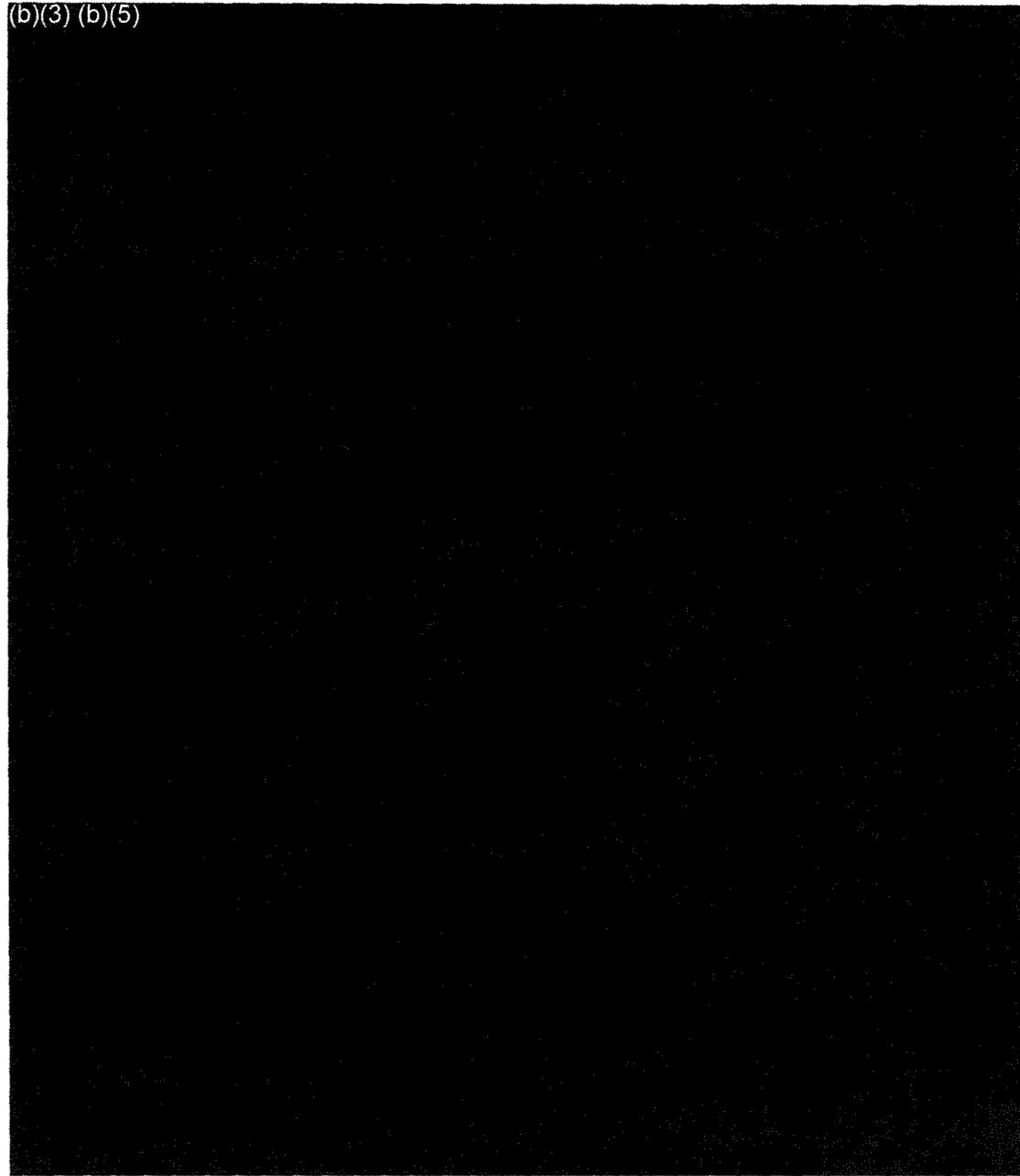
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(U) REPORT OF INSPECTION: INTELLIGENCE COMMUNITY EQUAL EMPLOYMENT OPPORTUNITY AND DIVERSITY OFFICE (IC EEOD)
ISSUED January 2014
Report Total: 9 Recommendations: 0 Open 9 Closed

(U) Summary of Closed Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) REPORT OF INSPECTION: INTELLIGENCE COMMUNITY EQUAL EMPLOYMENT OPPORTUNITY AND DIVERSITY OFFICE (IC EEO)
ISSUED January 2014
Report Total: 9 Recommendations: 0 Open 9 Closed

(U) Summary of Closed Recommendations (continued)

Recommendation	Reference Number	Responsible Office	Corrective Action
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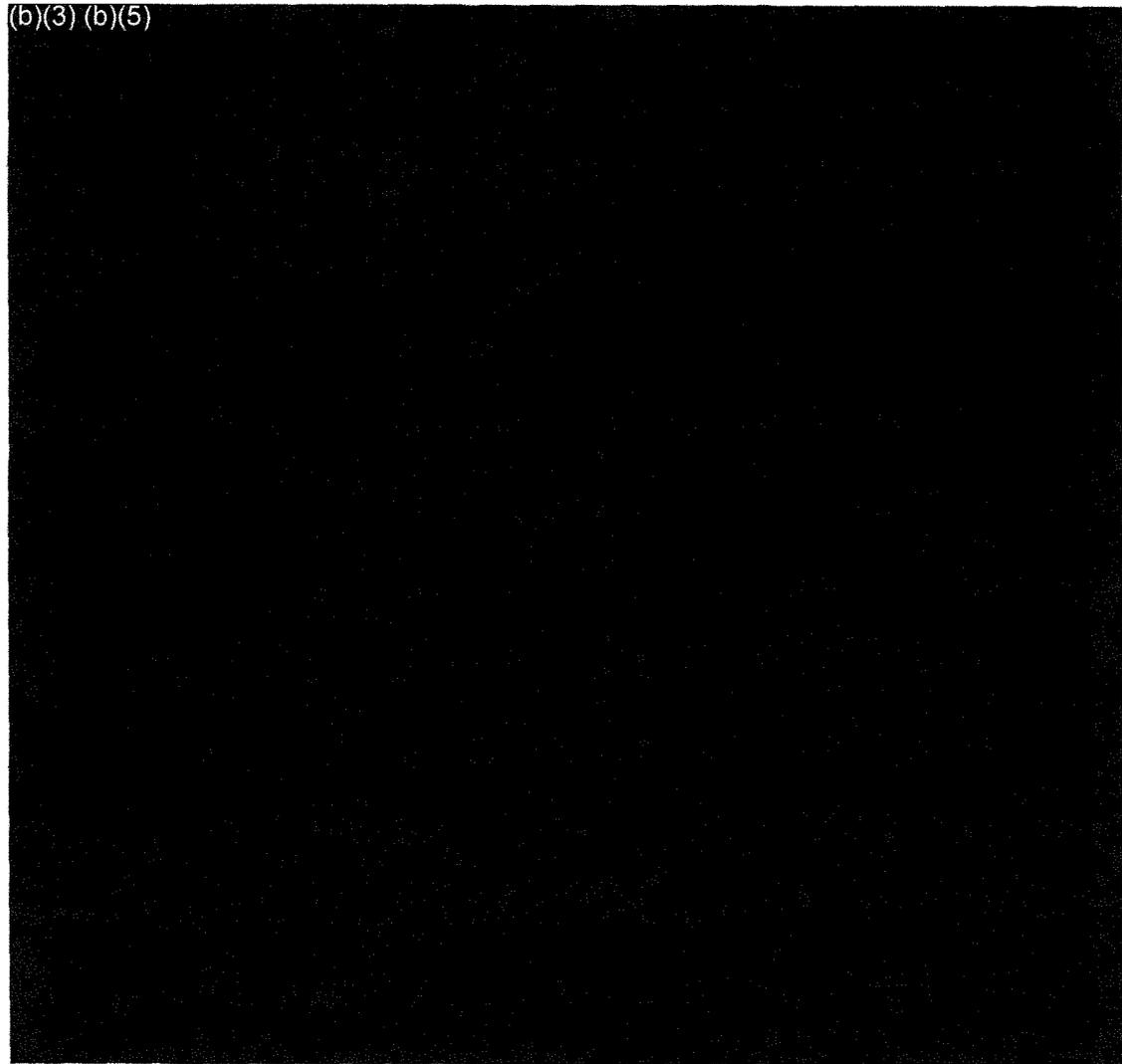
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(U) EVALUATION OF MEDIA CLAIMS REGARDING NON-REPORTING BY THE NRO OF CERTAIN 2010 ADMISSIONS OF POTENTIAL CRIMES
ISSUED February 2014
Report Total: 5 Recommendations: 0 Open 5 Closed

(U) Summary of Closed Recommendations

Recommendation	Rec #	Responsible Office	Corrective Action
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(U) REVIEW OF THE ODNI's FY 2013 COMPLIANCE WITH IPERA
ISSUED April 2014
Report Total: 1 Recommendation: 1 Open 0 Closed

(U) Summary of Open Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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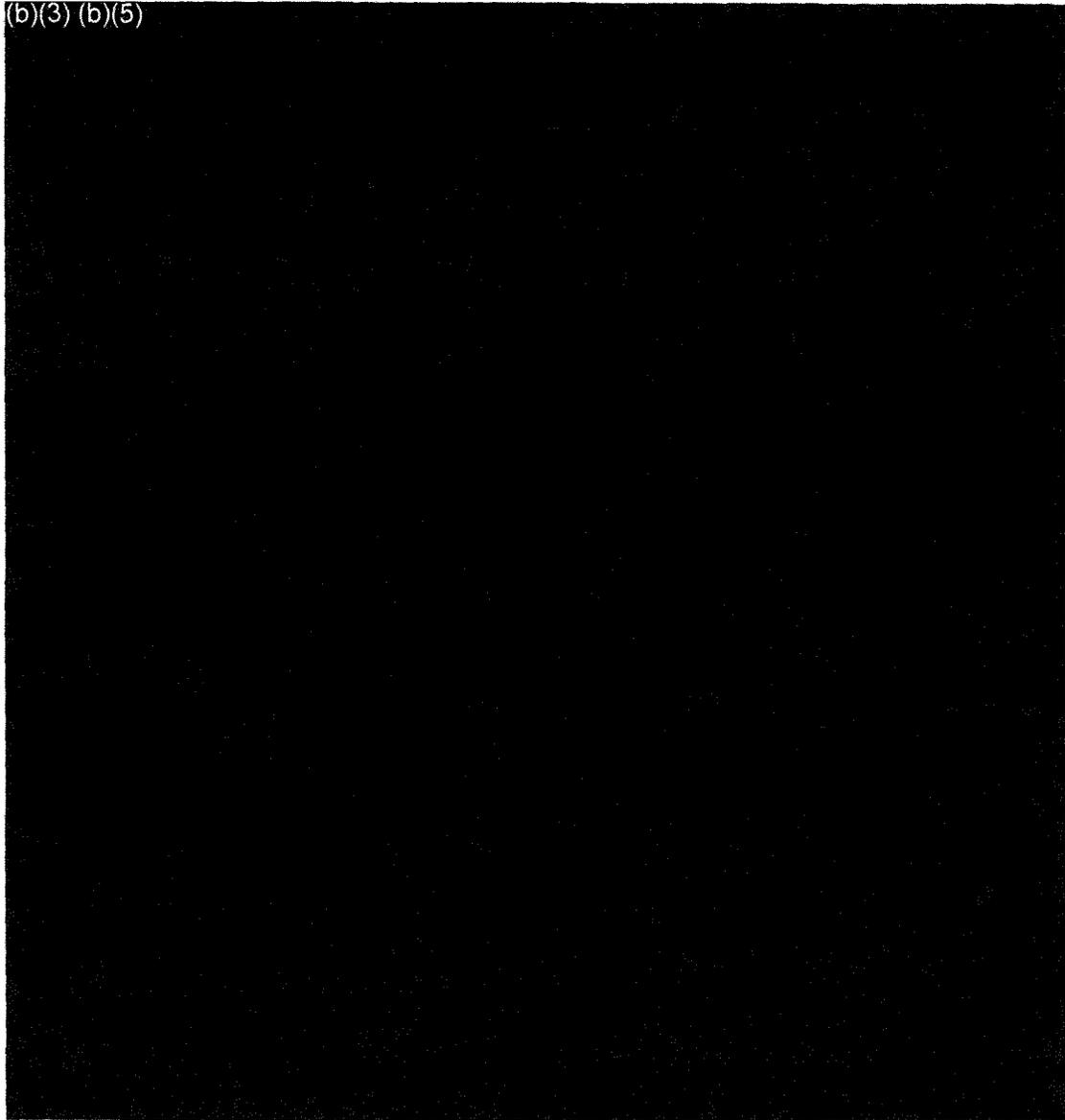
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(U) EVALUATION OF NATIONAL RECONNIASSANCE OFFICE CRIMES REPORTING PROCESS
ISSUED April 2014
Report Total: 13 Recommendations: 0 Open 13 Closed

(U) Summary of Closed Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) EVALUATION OF NATIONAL RECONNIASSANCE OFFICE CRIMES REPORTING PROCESS
ISSUED April 2014
Report Total: 13 Recommendations: 0 Open 13 Closed

(U) Summary of Closed Recommendations (continued)

Recommendation	Reference Number	Responsible Office	Corrective Action
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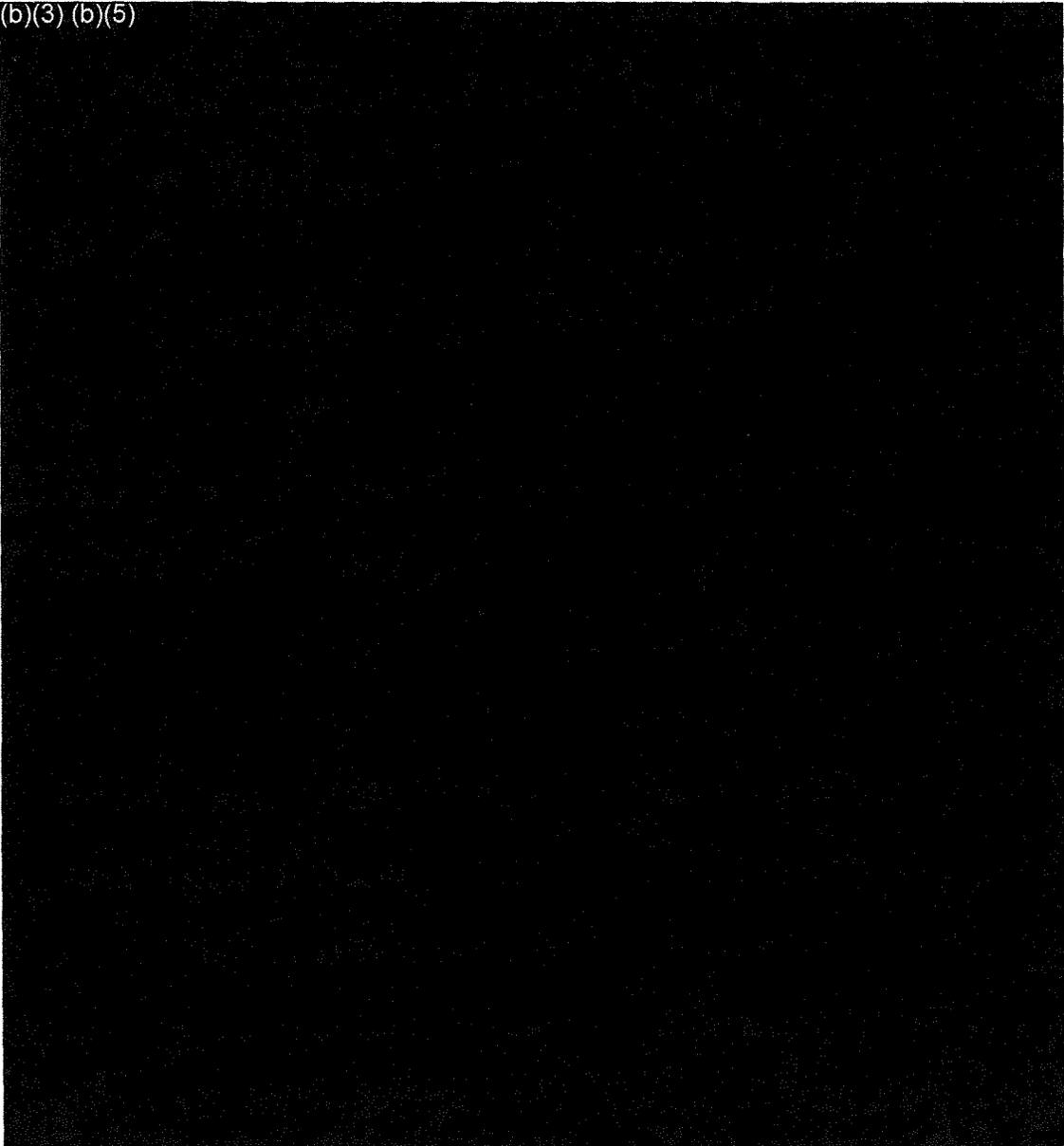
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(U) REPORT OF INSPECTION: OFFICE OF THE DEPUTY DIRECTOR OF NATIONAL INTELLIGENCE
FOR INTELLIGENCE INTEGRATION (DDII)
ISSUED May 2014
Report Total: 21 Recommendations: 14 Open 7 Closed

(U) Summary of Open Recommendations

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) REPORT OF INSPECTION: OFFICE OF THE DEPUTY DIRECTOR OF NATIONAL INTELLIGENCE
FOR INTELLIGENCE INTEGRATION (DDII)
ISSUED May 2014
Report Total: 21 Recommendations: 14 Open 7 Closed

(U) Summary of Open Recommendations (continued)

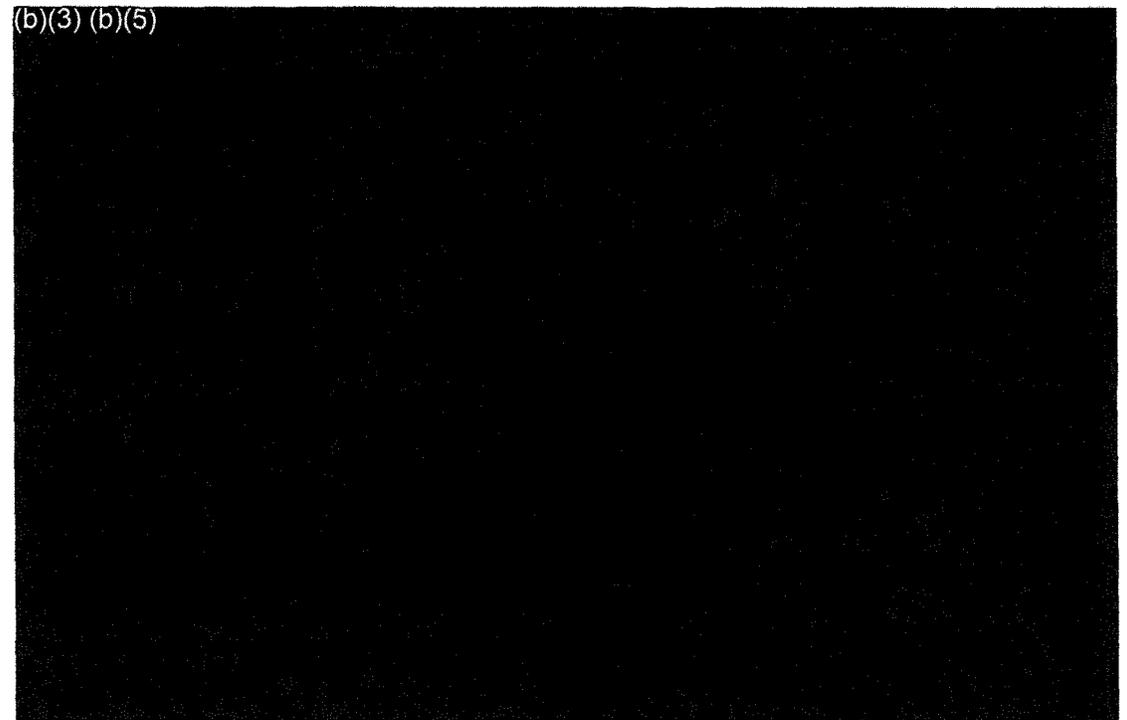
Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) Summary of Closed Recommendations

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(U) REPORT OF INSPECTION: OFFICE OF THE DEPUTY DIRECTOR OF NATIONAL INTELLIGENCE
FOR INTELLIGENCE INTEGRATION (DDII)
ISSUED May 2014
Report Total: 21 Recommendations: 14 Open 7 Closed

(U) Summary of Closed Recommendations (continued)

Recommendation	Reference Number	Responsible Office	Corrective Action
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(U) Report of Inspection: Chief Human Capital Office (CHCO)
ISSUED September 2014
Report Total: 5 Recommendations: 5 Open 0 Closed

(U) Summary of Closed Recommendations

Recommendation	Rec #	Responsible Office	Corrective Action
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